

1-30-3

2164 #4 131

02-6-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



APPLICANT: George H. Butcher III

Group Art Unit: 2164

SERIAL NO.: 09/823,376

Examiner: To Be Assigned

FILED: March 30, 2001

Attorney Docket No.: 7056.014

TITLE: METHOD OF STRUCTURING A
CREDIT HAVING A REPAYMENT
OBLIGATION

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EV 221201269 US

Date of Deposit: January 29, 2003

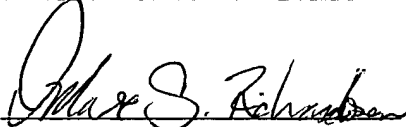
I hereby certify that the following attached paper(s) and/or fee

- (1) Information Disclosure Statement form PTO-1449 Listing References and other Non-Patent Prior Art;(Total 7 Items)
- (2) Supplemental Information Disclosure Statement/Fee Form;
- (3) A self-addressed stamped postcard, return of which is requested to acknowledge receipt of the enclosed documents.

by depositing same in a postage prepaid envelope in an official depository under the exclusive care and custody of the United States Postal Service under 37 C.F.R. Section 1.10 on the date indicated above and is addressed to the "Assistant Commissioner for Patents, Box IDS, Washington, D.C. 20231"

Respectfully submitted,
DREIER & BARITZ LLP

Dated: January 29, 2003

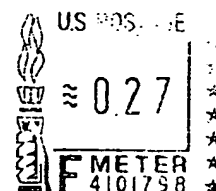
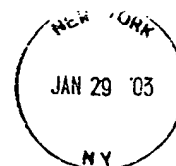

Omar S. Richardson

CORRESPONDENCE:

DREIER & BARITZ LLP
499 Park Avenue, 20th Floor
New York, NY 10022
Tele: (212) 328-6123
Fax: (212) 328-6101



Assistant Commissioner For Patents
Box IDS
Washington, D.C. 20231



Barry J. Schindler, Esq.
Dreier & Baritz LLP
499 Park Avenue, 20th Floor
New York, NY 10022

Appl. No.: 09/823,376

Dckt. No. 7056.014

Mailing Date: January 29, 2003

Atty: BJS

**For: METHOD OF STRUCTURING A CREDIT HAVING A REPAYMENT
OBLIGATION**

The return of this postcard, properly stamped, will acknowledge receipt in the United States Patent and Trademark Office of the following:

1. Supplemental Information Disclosure Statement and Fee Form;
2. PTO Form 1449 listing patent and non-patent references, (Total 7 items);
3. A self-addressed stamped postcard, return of which is requested to acknowledge receipt of the enclosed documents



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED
FEB 03 2003
GROUP

APPLICANT: George H. Butcher III

Group Art Unit: 2164

SERIAL NO.: 09/823,376

Examiner: To Be Assigned

FILED: March 30, 2001

Attorney Docket No.: 7056.014

TITLE: METHOD OF STRUCTURING A CREDIT HAVING A REPAYMENT OBLIGATION

INFORMATION DISCLOSURE STATEMENT

ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

RECEIVED
JAN 31 2003
Technology Center 2100

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of this is enclosed, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☒ **No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:**

- ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of the above-identified application or filing date of the continued prosecution application filed on _____; or
- ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
- ☒ **37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits, whichever event occurred last.**

2. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.

3. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):

☐ A check in the amount of \$240.00 is enclosed in payment of the fee.

☐ Charge the fee to Deposit Account No. 13-4500. Order No. _____ A

DUPLICATE COPY OF THIS SHEET IS ATTACHED.

4. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:

a. ☐ one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and

a. ☐ The attached petition requesting consideration of this Information Disclosure Statement; and

a. ☐ the fee due under 37 C.F.R. §1.17(i)(1) which is paid as set forth in paragraph 10 below.

5. ☐ A fee is due under 37 C.F.R. §1.17(i)(1) for this Information Disclosure Statement since it is being filed in compliance with:

a. ☐ 37 C.F.R. §1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue;

b. ☐ 37 C.F.R. §1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.

c. ☐ The fee due under 37 C.F.R. §1.17(i)(1) is paid as set forth in paragraph 7 below.

6. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

7. ☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. §1.17(i)(1).

☐ Charge the fee due under 37 C.F.R. §1.17(i)(1) to Deposit Account No. 13-4500. Order No. _____

A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

☐ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500. Order No. _____. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Dated: January 29, 2003

CORRESPONDENCE ADDRESS:

DREIER & BARITZ LLP

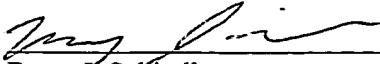
499 Park Avenue

New York, New York 10022

Tel: (212) 328-6100

Fax: (212) 328-6101

Respectfully submitted,
DREIER & BARITZ LLP

 By:
Barry J. Schindler
Registration No. 32,938



Please type and sign (+) inside this box →
PTO/SB/08A(10-



96)

EV22120126

RECEIVED
FEB 03 2003
GROUP 3600

Approved for use through 10/31/99. OMB 8065-1003

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

Complete if known

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet: of:

Application Number: 09/823,376

Filing Date: March 30, 2001

First Named Inventor: George H. Butcher III

Group Art Unit: 2164

Examiner Name: To Be Assigned

Attorney Docket Number: 7056.014

RECEIVED
JAN 31 2003
Technology Center 2100

U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. 1	U.S. Patent Document Number Kind Code ² (if known)	Name of Pantentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear

Examiner

Date

--	--	--	--	--	--



RECEIVED
FEB 03 2003
GROUP 3600
RECEIVED
JAN 31 2003
Technology Center 2100

Signature

Considered

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Office ³ Number ⁴ Kind Code ⁵ (If Known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYY	Pages, Columns, Lines Where Relevant Passages or Figures Appear	T ₆

Examiner

Date

Signature

Considered

--	--	--	--	--	--	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Unique citation designation number. 2 See attached Kinds of U.S. Patent Documents. 3. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6. Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC, 20231.

{AS0328.DOC;}



RECEIVED
FEB 03 2003
GROUP 3600
RECEIVED
JAN 31 2003
Technology Center 2100

PRIOR ART-NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (When appropriate), title of the item (book, magazine, journal, serial, etc., date, page(s), volume-issue number(s), publisher, city and/or country where published
	1.	VIN SUPRYNOWICZ, States to sell 'tobacco bonds'? enterstageright.com, May 8, 2000; pgs 3, 1-3.
	2.	JILL VIHTELIC, Could Tobacco Bonds Go Up in Smoke?, BusinessWeek, November 22, 1999. Energy & Min. L. Inst. Ch. 8 (2001), pgs 270-317.
	3.	Super Sinker, Investopedia.com, October 6, 2002, pgs 2, 1-2.
	4.	Super Sinker Bond, Investorwords.com October 6, 2002, pg 2
	5.	WILLIAM STUART MORGAN III, South Counties Join in Unique Financing Venture for Landfill Development, County News Online, National Association of Counties-Washington, D.C. Vol. 29, NO.11 June 9, 1997
	6.	"Corporate Trust Connection" Newsletter, Winter 1999 (U.S. Bank Corporate Trust Services)
	7.	"Investing Glossary": Supper Sinker Bond, Market Volume, October 6, 2002

Examiner	Date

Signature	Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Unique citation designation number. 2 See attached Kinds of U.S. Patent Documents. 3. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6. Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC, 20231.